

MANAGEMENT: THE MISSING LINK TO
ARMY LEADERSHIP DOCTRINE

A thesis presented to the Faculty of the U.S. Army
Command and General Staff College in partial
fulfillment of the requirements for the
degree

MASTER OF MILITARY ART AND SCIENCE
General Studies

by

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Fort Leavenworth, Kansas
2003

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REPORT DOCUMENTATION PAGE			Form Approved OMB No. 0704-0188	
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1. REPORT DATE (DD-MM-YYYY) 06-06-2003		2. REPORT TYPE thesis		3. DATES COVERED (FROM - TO) 05-08-2002 to 06-06-2003
4. TITLE AND SUBTITLE MANAGEMENT: THE MISSING LINK TO ARMY LEADERSHIP DOCTRINE Unclassified			5a. CONTRACT NUMBER	
			5b. GRANT NUMBER	
			5c. PROGRAM ELEMENT NUMBER	
			5d. PROJECT NUMBER	
6. AUTHOR(S) Flemming Jr, Lee, A			5e. TASK NUMBER	
			5f. WORK UNIT NUMBER	
			8. PERFORMING ORGANIZATION REPORT NUMBER ATZL-SWD-GD	
7. PERFORMING ORGANIZATION NAME AND ADDRESS US Army Command and General Staff College 1 Reynolds Ave Fort Leavenworth, KS66027-1352			10. SPONSOR/MONITOR'S ACRONYM(S) 11. SPONSOR/MONITOR'S REPORT NUMBER(S)	
9. SPONSORING/MONITORING AGENCY NAME AND ADDRESS .			12. DISTRIBUTION/AVAILABILITY STATEMENT A1,Administrative or Operational Use 06-06-2003 US Army Command and General Staff College 1 Reynolds Ave Ft. Leavenworth, KS66027-1352	
13. SUPPLEMENTARY NOTES				
14. ABSTRACT Although Army leadership has proved itself to be adaptable and able to accomplish countless missions with increasing levels of success, weakness does exist in the way we prepare those same leaders for management responsibilities. In particular, the concern is that the Army's managers have no guide for the execution of their duties, and the assumption that being a good leader will make a good manager is a bad one. There are numerous applications for management in today's Army to include the developing Operational Career Fields, budget and procurement management, garrison activities, logistics sustainment, and acquisitions. The need for organization and planning in the above fields is the one common string that ties them together as a hotbed for management practices. This observation by no means is a recommendation to replace leadership in the above areas, but it does purport that there are additional requirements for officers and soldiers that go beyond influencing. These applications are bolstered when management and leadership work in conjunction to accomplish the myriad of complex tasks required of the Army's officers and soldiers.				
15. SUBJECT TERMS Leadership; Army; Management; Education; Training				
16. SECURITY CLASSIFICATION OF: a. REPORT b. ABSTRACT c. THIS PAGE Unclassified Unclassified Unclassified		17. LIMITATION OF ABSTRACT Same as Report (SAR)	18. NUMBER OF PAGES 65	19. NAME OF RESPONSIBLE PERSON Buker, Kathy kathy.buker@us.army.mil
19b. TELEPHONE NUMBER International Area Code Area Code Telephone Number 9137583138 DSN 5853138				
				Standard Form 298 (Rev. 8-98) Prescribed by ANSI Std Z39.18

MASTER OF MILITARY ART AND SCIENCE

THESIS APPROVAL PAGE

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The opinions and conclusions expressed herein are those of the student author and do not necessarily represent the views of the U.S. Army Command and General Staff College or any other governmental agency. (References to this study should include the foregoing statement.)

ABSTRACT

MANAGEMENT: THE MISSING LINK TO ARMY LEADERSHIP DOCTRINE, by MAJ Lee A. Flemming, 65 pages.

Although Army leadership has proved itself to be adaptable and able to accomplish countless missions with increasing levels of success, weakness does exist in the way we prepare those same leaders for management responsibilities. In particular, the concern is that the Army's managers have no guide for the execution of their duties, and the assumption that being a good leader will make a good manager is a bad one.

There are numerous applications for management in today's Army to include the developing Operational Career Fields, budget and procurement management, garrison activities, logistics sustainment, and acquisitions. The need for organization and planning in the above fields is the one common string that ties them together as a hotbed for management practices. This observation by no means is a recommendation to replace leadership in the above areas, but it does purport that there are additional requirements for officers and soldiers that go beyond influencing. These applications are bolstered when management and leadership work in conjunction to accomplish the myriad of complex tasks required of the Army's officers and soldiers.

ACKNOWLEDGMENTS

It is difficult to overstate my gratitude to my committee LTC Joe Wyte, LTC Victor Bond, and MAJ (P) Kelly Jordan. Without their enthusiasm, guidance, and efforts this project would be lacking in clarity and substance. Throughout my thesis-writing period, they provided encouragement, sound advice, instruction, and lots of great ideas. I would have been lost without them.

I am indebted to my many student colleagues at the Command and General Staff College who have assisted me in the course of this work in one way or another. Among them, MAJ Ronnie Coutts, MAJ (P) Gregg Gutterman, and MAJ Bill Lynch have been particularly helpful and generous with their time and expertise. Whether acting as a sounding board or actually providing references your help was invaluable.

Lastly, and most importantly, I wish to thank my wife and daughter, Michelle and Shariece Flemming. They endured countless long nights, missed weekends and sacrificed vacations. Theirs was the hard task. To them I dedicate this thesis.

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CHAPTER 1

INTRODUCTION

Making decisions, exercising command, managing and administering--those are the dynamics of our calling (FM 22-100 1999, 6-12).

General Harold K. Johnson
Former Army Chief of Staff

The changing framework of the Army dictates that we expand our vocabulary and clarify exactly what is expected of officers and soldiers. The complexity of the battlefield continues to grow: the advent of new technologies overload the soldier with increased responsibilities, the officer personnel management system has grown to include diverse non-combatant fields, and the assignments that require troop leadership continue to dwindle with reductions in force. In many of these cases leadership and management are used interchangeably. Said another way, soldiers are expected to rely on their previous leadership experiences to guide them in their endeavors to manage the new requirements that they are expected to master. More of these officers are finding themselves ill prepared for the challenges of management, because the perception of the last two decades has been that a good leader will make a good manager. We have gone through great lengths to illustrate the definition of leadership in Field Manual 22-100, but have failed in highlighting the characteristics that a leader must have exclusive of those that are required of a good manager. The purpose of this project is to answer the primary question: does management have useful applications in the Army? Maybe there is no simple answer to what is expected of a manager, but there has to be something more definitive to serve as a guide for soldiers that are expected to be good leaders. Can we

simply say that good leaders must be good managers and vice versa, and expect that the product we get is conducive to the successful accomplishment of the duties assigned to the soldier? This not only clouds the expectations of the individual, but complicates the growing process with unneeded discovery learning.

The Problem

To a certain extent the above characterization reflects the challenges of the new operational career fields and legacy force structure changes that the Army is currently going through today. That said, it is not difficult to see that the Army is asking officers to go where they have not gone before. Places that have systems and structures that require different interaction skills. Working with industry, acquisition procurement, and logistical and personnel duties are a few of the required functions. If you are looking for words to describe the condition many leaders and managers are suffering from they might be change overload. “As the silos in many companies have fallen and organizations have reorganized around teams, managers are scrambling to handle and implement the many changes in their jobs” (Pearse 2002, 1). Principally, there are questions about the skills that are acquired as a leader and their applications as it pertains to the accomplishment of the new missions of a manager of resources.

Army leadership is in a constant struggle because we endeavor to include substantial leader tasks that do not easily fall within the realm. It is difficult to marry leadership with the required processes of management. Time, maintenance, logistics, and budgets are all functions that require managers to prioritize how an organization will move forward and accomplish mandatory tasks. The business of leadership is less

muddled and is described as influencing people--by providing purpose, direction, and motivation--while operating to accomplish the mission and improving the organization (FM 22-100 1999, 1-4). Are the management responsibilities of leadership less important? Doctrine does not directly say this, but more attention is paid to the art of how leaders deal with people. It is difficult to “influence, direct and motivate” time.

Significance of the Study

Although Army leadership has proved itself to be adaptable and able to accomplish countless missions with increasing levels of success, weakness do exist in the way we prepare those same leaders for management responsibilities. This study illustrates manager processes and applications. It highlights applicable tasks that leaders perform with little regard that they are functions of the management process. This task will be challenging, because individuals do not consciously change hats when faced with different tasks, but they address them with the full spectrum of their experiences and abilities. This goes to the heart of the study, because it tackles the difficulties that leaders deal with when placed in unfamiliar management positions.

This topic is more important than attachments to current Army leadership doctrine. Purporting leadership alone without regard to the construct of management processes addresses only a part of officer and soldier responsibilities. Evidence of this can be seen in many definitions of leadership. Very simply put, leading is establishing direction and influencing others to follow that direction. However, there are many variations and different areas of emphasis to this very simple definition (McNamara 1999, 1). Any attempt in the Army to capture tangible aspects of leadership is met with

resistance and characterizations of personality and individualism. These characterizations do not address the requirements needed to complete the processes that are necessary to run an effective and efficient organization. Prior to September 11, 2001 the Office of the Secretary of Defense identified that there was confusion regarding “whether or how to manage C3I and related IT critical to national defense systems. They determined that this void represented a vulnerability to our national security of increasing proportions (Elliot 1998, 1). The same study also delineated that leadership in this area was ineffective and was not qualified to meet the challenges of “information dominance.” Although it may not be in vogue, teaching leaders better process management skills might fill this void. This study could be used as a start point for revising Army Leadership and Management doctrine, and that the evidence presented will sufficiently delineate the reasons for change.

By identifying management applications this study will counter the long held theory that you can become a good manager through osmosis and the leadership positions that you held in the execution of your previous duties. The importance of this study will be in the determination of useful applications of when management would be appropriate in certain situations. The objective is that the gap in knowledge between leader responsibilities and management duties is closed and officers empowered by the delineation. This project is meant to identify not only characteristics of management, but provide the field with a tool that can serve as a start point for training current and future service members.

Limitations and Delimitations

The purpose of this thesis will be to answer a few of the questions that an Army leader may have in regard to assuming duties as a manager in today's changing military. The paper will seek to provide the field with a definitive view of management. An objective of this study will be to determine what applications for management may exist for the employment in the Army. This study will attempt to diffuse the assumption that good leaders make good managers. This project will also seek to determine if there are specific management characteristics that are exclusive to those of leadership. The project will not comprehensively address Army leadership doctrine, but will use it as a guide for the discovery of practiced leadership principles as they pertain to potential management functions.

Management Defined

Management is the attainment of organizational goals in an effective and efficient manner through: planning, organizing, motivating/leading and controlling (see figure 1). Effectiveness is the degree to which the organization achieves its stated goals (Are we doing the right things?). Efficiency is the amount of resources used to achieve an organizational goal (Are we doing things right?). The four functions of management are defined as follows. In planning goals are selected and ways to attain them are identified. Organizing requires the assignment of responsibility for task accomplishment. Leading is used to influence and motivate employees. Controlling is used to monitor activities and make corrections (Peters 2001, 1-24). Note that the above definition presents leadership

as a function of management, and that it also addresses the additional processes that are performed in all organizations to include the military.

A clear definition of management will go far in addressing the people aspects of the changing operational environment. Force XXI (Twenty First Century) and the Objective Force highlight the need for improved technology and weapon systems, but falls short in realizing that there must be attention paid to the individual manager of these new systems. Mission expectations are changing and are painstakingly addressed in the new operational environment, but little care has been given to the soldier that is being armed with a multitude of requirements that must be managed to be successful.

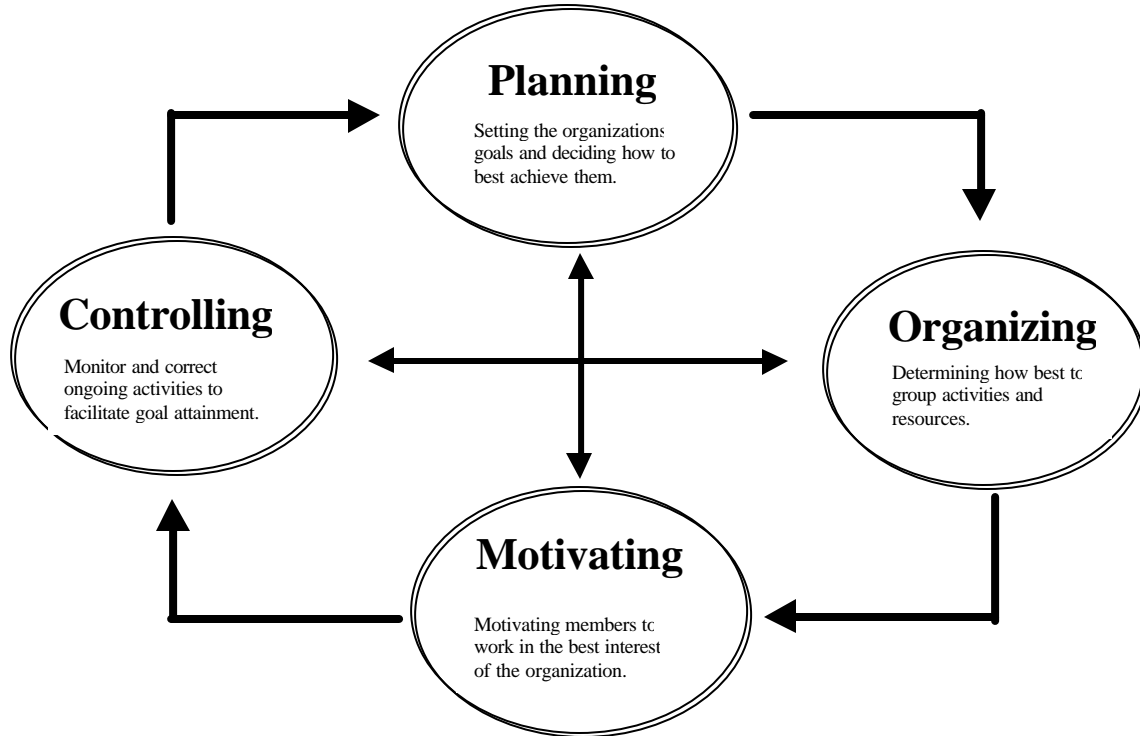


Figure 1. Management Process (POMC Model). Schematic based on Fayol's 14 Management Principles see Appendix A. Griffin, R. W. *Management (6th ed.)*. 1999. Boston, MA: Houghton Mifflin.

Good Management?

Over the past twenty years in the military and in business for that matter, leadership has replaced management as the primary means of accomplishing organizational goals. Unfortunately, few organizations have found ways to ensure that both methodologies work in concert; rather leadership has wholesale-replaced management. Many cite that the conventional wisdom that managers do little else but keep a close eye on what their subordinates do, as opposed to inspiring their employees to do things on their own as the reason for this divergence (Slater 1999, 27). Illustrations of this include statements like managers muddle--leaders inspire, managers slow things down--leaders keep things running smoothly, and managers talk to one another--while leaders talk with their people (Slater 1999, 29). It is hard to believe that any of the criticisms of management would change simply by telling the manager that they are now a leader. The problem goes to the way that the individual approaches the requirements of their duties and not the fact that they are managers. The question then becomes what is good management?

Good managers need to be able to master the daily operations of their organization, or at least their part of the organization, and they must be able to understand and prepare for the future needs of their organization. Planning, organizing, directing, controlling, and delegating are parts of this process, but they are not the only parts. Training and education is the key. There is a big difference between an aptitude and skills and knowledge. Management is learned behavior that requires tutelage and dedication. The aptitude may be innate, but skill and the knowledge are not. Skill comes from practice and knowledge comes from study (Wells 2003, 1). A good manager endeavors to

maximize the output of the organization through the implementation of their knowledge and skill (ME96 1997, 1).

The goal of good management is no different than that of a well led organization, success and mission accomplishment. Contrary to the popular perception that managers and leaders are polar opposites that do not exist in the same context, management functions to optimize the conceptualizations of leadership. In essence, the primary function of a leader is to create the essential purpose or mission of the organization and the strategy for attaining it. In contrast, the primary function of a manager is to implement that vision (Baron 1999, 446). Managers are able to accomplish this by expressing their desire for achievement. They establish the way to get things done and let everyone know what the goals for the organization are. Successful managers also anticipate the consequences of their decisions and determine what will happen next as a result of their plans (Fritz 1993, 27).

Management and Leadership: Not So Different

Although management and leadership are dissimilar, each has its place in the military. The recognition of this will forever change the way officers and soldiers are trained to handle the complexities of their duties. Gone are the days in which soldiers can simply say leadership is good and management is bad. There is an assertion that “leading is different than managing.” The ways that these assertions are made--can cultivate the view that the activities of planning, organizing and coordinating are somehow less important than leading. The assertion can also convince others that they are grand and gifted leaders who can ignore the mere activities of planning, organizing and

coordinating - they can leave these lesser activities to others with less important things to do in the organization. This view can leave carnage in organizations (McNamara 1999, 3). Systems cannot be led and budgets cannot be inspired. There are similarities as well as places where leadership and management overlap and this distinction between the two disciplines cannot be drawn over the preference of the individual.

Many studies try to distinguish the differences between leadership and management, and in the end find it difficult to articulate actual distinctions. A reason could be that the difference between establishing and implementing organizational vision is often blurred. Where leaders frequently create vision, formulate strategy and increase employee commitment to vision; managers are more often charged with implementing that strategy (Baron 1999, 446). This is just another way in which leadership and management overlap in organizations.

These similarities are prevalent in the changing backdrop of today's Army. A prominent New York University Professor, Dr. Dale Zand indicates that the skills of obtaining, using, and sharing useful and relevant knowledge are crucial to success in managing the challenges of the Information Age. Finding out if the knowledge is relevant, while checking key underlying assumptions and triggering the growth of both strategic and operational knowledge in the organization, are all skills leaders need to learn to implement (Pearse 2002, 2). The recognition of the above nuances is essential to the Army, and is an illustration of how leadership and management work together in concert to answer the challenges of an organization.

Management Processes

Management is about completing a project on time and on budget (Adamchik 2002, 1). These short-term goals can sometimes seem to be in conflict with the visionary long-term challenges of leadership. The realization that we have to come to in the Army is that they are no less important and require attention commensurate with the focus that we place on leadership. Once the plan is in place, processes must be established to monitor progress. Managers use these processes to detect problems so they can fix them. These processes can be measures of profitability, and efficiency. In any event, they are usually clearly defined (Adamchik 2002, 2).

James Champy in his book *Reengineering Management: The Mandate for New Leadership* identifies five core management processes. These include mobilizing, enabling, defining, measuring and communicating. Mobilizing is the process by which a company and its people are brought to the point where they accept the changes that reengineering entails. It includes a compelling reason and vision. Enabling is redesigning work so that people can exercise their skills and capabilities to the fullest extent possible. This is also known as empowering. Defining and dedicating is leadership through continuous experimentation that includes learning from comparisons and then learning to act on what is learned. Measuring includes identifying process results that will accurately evaluate performance. Measurement includes self- assessment, peer evaluation and assessments of management. And finally communicating involves managers continually making the case for change, specifically those that have impacts on employees' lives (Champy 1995, 110).

The pertinence of the above processes in the execution of management duties such as budgeting, logistics planning, and procurement cannot be undervalued. They also closely parallel the four processes previously used in the management definition: planning, organizing, motivating and controlling. Officers and soldiers alike require the skills to synthesize the ever-developing aspects of their managerial responsibilities. “Organizations increasingly have to react more swiftly and decisively to changing market and political demands. These external influences are placing great strains on internal management processes, both in the public and private sectors (The Infrastructure Partner, 1).” The ability to meet the challenges of these strains with knowledge and forethought will enable the Army’s managers to thrive in a today’s leader centric organization.

Management Applications

The management process has four functions: planning, organizing, motivating and controlling. These functions offer an interesting mechanism for the discovery of potential management applications for the Army (see figure 2). This study purports that leaders in the army currently conduct substantial management functions throughout the course of their careers, and are being asked to exhibit abilities within the new operational environment that are rarely communicated to them in a cogent fashion. This study focuses on eight such tasks and applications: goal setting, prioritization, time, resources, communication, retention, delegation, and correcting. Principally, tasks are married to functions of the management process to determine their applicability to operations within the Army.

Planning

The planning function is the process by which each goal in the organization is tied to the goals and objectives at levels above and below that level, thereby creating a means-ends chain. Simply put, nothing happens in an organization that does not flow from the mission statement of the organization. This is not to imply strict control, but rather a sense of unity of action within the organization. The means by which strategic goals (ends) are accomplished are by more specific goals and objectives being set forth in the tactical and operational plans (Murphy 2000, 15).

Potential applications for the planning function as part of the management process include both goal setting and prioritization. Army officers and soldiers as leader competencies already carry out these two functions. FM 22-100, Army Leadership Doctrine, lists priorities as a function of decision making, and goal setting as a utility in increasing organizational readiness. Both functions are management processes that are essential to the development of an organization, and would classify them as mechanical in nature. This is not really in contrast with the common Army thought that leaders provide vision for their organization. This takes that thought just a step further and states that leaders provide vision--managers outline the goals and priorities that the organization must carry out to achieve that vision.

Organizing

The management function of organizing is more comprehensive than is generally used in common everyday conversations. The short definition is “how to best group organizational activities and resources.” Fayol highlighted a system of building blocks

that involved: (1) designing jobs, (2) grouping jobs, (3) establishing reporting relationships between jobs, (4) distributing authority among jobs, (5) coordinating activities between jobs; and (6) differentiating between jobs (Murphy 2000, 16).

The two management processes that fall within the realm of organization are time and resources. These potential management applications are pertinent because of the need to accurately distribute them across the spectrum of the organization. This is essential because both are scarce and the potential for waste is evident in poorly run units. Army doctrine addresses time as a function of organizational leadership and resourcing as a technical skill. Neither of the functions fit well as a function of leadership, but can easily be adapted as necessities in the organizational process.

Motivating

Motivating and leading as a function of the management process is probably the most difficult element of the process to manage. Most managers and leaders would agree that much of their time is dedicated to dealing with people problems. Finding the right balance between task requirements and worker motivation is critical to the success of any organization (Murphy 2000, 17). This function is more closely tied with leading than any other and the applications of communication and retention can be directly tied to the personalities of organizational leadership.

Controlling

Controlling as a function of the management process recognizes that once the plan is in motion, there needs to be a mechanism to check the progress of the plan. Plans should not be fixed, regimented documents. They should be regarded as the best plan of

action at a point in time, but need to be changed as the situation dictates. This does not mean a continual changing of the plan, but merely that when the execution of the plan falls outside the parameters laid out in the plan, managers need to be alerted at the appropriate level in the organization in order to take the necessary corrective action. Thus, the controlling function becomes the thermometer that gauges the health of the organization as various plans are executed (Murphy 2000, 18).

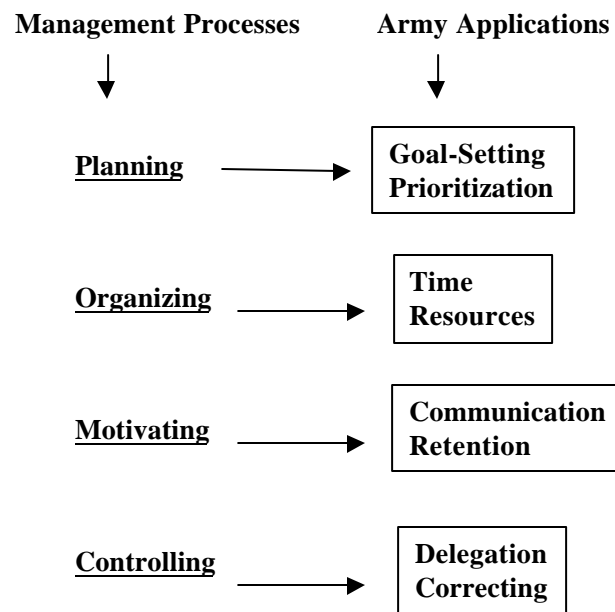


Figure 2. Management Process and Army Applications

Note:

The above figure is crosswalk between the management processes that are depicted in figure 1 and Army leadership applications as illustrated in FM 22-100, *Leadership*.

As opposed to motivation, organization as a function of the management process could not be farther from the dynamics of leadership in organizations. The applications of

delegation and correction require constant monitoring to ensure that the unit steers the course that the leader lays out. Leadership doctrine addresses delegation as a leadership style and correction as a function of training. Understanding both applications as functions in the management process is more conducive to their use in improving organizational effectiveness.

Summary

There are numerous applications for management in today's Army to include the developing Operational Career Fields, budget and procurement management, garrison activities, logistics sustainment, and acquisitions. The need for organization and planning in the above fields is the one common string that ties them together as a hotbed for management practices. This observation by no means is a recommendation to replace leadership in the above areas, but it does purport that there are additional requirements for officers and soldiers that go beyond influencing. These applications are bolstered when management and leadership work in conjunction to accomplish the myriad of complex tasks required of the Army's officers and soldiers.

While management and leadership are not the same, there is a link between them. It's clear that different problems require different solutions at different times. Rather than being mutually exclusive, these two competencies are, in fact, interdependent. For example, once a leader articulates the intended direction, plans must be put in place to provide concrete ways to move in that direction. Once people have been hired into an organization, the structure of which was defined by a manager, a leader must align those people with a vision. Finally, a leader must motivate and inspire people to overcome the

challenges that management processes of controlling and measuring uncover (Adamchik 2002, 3).

There was more than adequate material available to address the topic of leadership and management. Central to the study was the selection of literature that address each individually, as well as supporting readings that illustrated the dichotomy. Army Leadership Doctrine (Field Manual 22-100) played a key role in establishing a base understanding of what the Army provides as guidance to officers and soldiers, but served a smaller role in the discovery of applicable leadership and management principles for this particular study. The goal was to go outside of the established military literature to find universal principles that could be used to enhance on the shelf military doctrine. The literature available helped provide a comprehensive look at management as well as the schools of thought that are prevalent in the community today.

CHAPTER 2

LITERATURE REVIEW

In discussions about the theories, common problems, and preconceptions of management or those dealing with issues of defining and identifying characteristics of management the field finds itself divided. Whether the proponents of leadership or those of management argue the issues, the questions of suitable military culture are given great attention by persons who seek to improve their situation. This is why the military profession should seek to understand the problems of management and leadership and intervene where necessary. Some controversy surrounds whether management is considered “leadership,” and what function, if any, should management serve in the Army. In this paper, management and leadership are considered on equal footing. Doing otherwise does not provide any useful clinical or functional purpose and only serves to further stigmatize the existing relationship that they have in today’s Army.

Management / Leadership Defined

It is difficult to find an adequate or clear definition of management and leadership. Many sources discuss management in terms of effectiveness and efficiency or in terms of attaining organizational goals. Leadership is discussed in terms of vision, motivation and influence. Sources vary in their definitions as to what is considered “management” versus “leadership.” Management is defined as the attainment of organizational goals in an effective and efficient manner through: planning, organizing, leading and controlling (Peters 2001, 1-24). Sources define leadership as influencing people--by providing purpose, direction, and motivation (FM 22-100 1999, 1-4).

Certainly not all managers should be expected to lead, but most leaders have management functions that dictate their success or failure in their assigned positions. Determining where the two met and where another is more prominent was an art in and of itself, and was the focus of the literature used for the thesis. A review of the primary management and leadership literature is included as the foundation for this chapter.

Management Literature

Strategic Management: Strategy Formulation and Implementation, Third Edition.

This book served as the academic foundation for the management research. It played an important role in identifying what instructors are teaching and have taught their students regarding the purpose of management. Its utility also lies in the case studies that are included as an extensive review of actual managerial applications from industry with a focus on strategic functions.

Organizing for the Future: The New Logic for Managing Complex

Organizations. This book is a collaboration between two prominent management theorists Jay Galbraith and Edward Lawler. They argue that changing environments require new management practices. The most distinguishing characteristic about this book, and the most useful for the study is that it links management theory to practical uses for management. The book gets its name from the fact that the team of authors purports that current organizational structures and management practices will require changes in the future to be effective. Although this information was interesting, it played a lesser role in the research for the thesis.

Thriving on Chaos. As the title alludes to, this book examines what it believes to be an evolution of management practices. In doing so Peters, the author, identifies

pertinent management applications for future organizations. The focus that he placed on training and organization were the most useful to this paper.

Managing in the Next Society. This book looks at how influences such as changing demographics, the internet and innovations are affecting managerial requirements. The book's utility for this project was its focus on the responsibilities of management as well as how manager's deal with power and accountability.

Back to Basics Management. As the title represents, this book highlights that there has been a divergence of some kind from commonly held management practices. It focuses on what they believe to be a clinical approach to managerial functions and addresses the need to get back to focusing on *people*. The book was key in providing evidence and information regarding the potential management applications for use in the Army.

Management Overview

Coff's in his resourced based theory discusses the value of human assets. He indicates that they can be a source of sustainable advantage because knowledge and social complexity are hard to imitate. He has developed a framework for dealing with associated management dilemmas and challenges (Coff 1997, 374-402). Hambelton examines the reasons why people work concluding, not surprisingly that money and security are important. Sixteen other reasons are listed including the need to feel valued, escape from home, intellectual challenge, and enjoyment. These are related to the work of Maslow and Drucker, and it is emphasized that motivation and morale are important factors to consider when managing people (Hambelton 1997, 26-27). Arnold and Johnson question whether formal mentoring has the career and psychological benefits claimed for

it. A survey revealed that more psychological / social benefits were gained than any career-related benefits. Guidance is provided for organizations considering whether to set up mentoring programs (Arnold 1997, 61-70).

Reviewing the literature of management is challenging, and the outcomes will depend on the methodology used in the examination of existing information. The impression is that theorists have returned to a consideration of the human aspects of management, and that some techniques have matured over the years

Leadership Literature

Field Manual 22-100. This manual served as the base for the thesis as it provides the most comprehensive view of how leadership is conducted in the Army. It was also the source for the definition of leadership.

Leadership. This book is held as one of the most preeminent sources in leadership literature. It takes a comprehensive look at many of the commonly practiced and studied leadership theories. Burns, the author, uses examples to help highlight and define each theory. This book provides a sound foundation for a definitive view of leadership.

Built to Last: Successful Habits of Visionary Companies. This book outlines how you build a great company. Key to this study is that it identified the challenges of leadership as well as potential uses for management in organizations. Its analysis of how organizations improve and succeed was especially useful in evaluating the role that leaders played versus management.

Vision, Values, and Courage. This book was a collaboration between several authors that addressed the role that leadership plays in helping define quality in

organizations. The utility for the thesis was in the book's look at the problems that arise when leadership fails to do its job as well as the solutions to those problems.

Transformational Leadership: Industrial, Military, and Educational Impact. This source was very useful tool for the thesis because it not only looked at leadership in business organizations, but also identified key applicable military imperatives. The premise of the book delineates that particular aspects of leadership can be used to inspire people to exceed expected performance.

Leadership Overview

The review of leadership literature indicates that there may not be common ground amongst writers on this subject. Barker questions how we can train leaders if we don't know what leadership is? He argues that few writers have analyzed what they mean by leadership. His analysis is that it is grounded in the feudal concept of leadership in which a powerful male leader controls and directs the efforts of those at lower levels to achieve his goals (Baker 1997, 343-362). The experience of working with managers around the world, by Heifetz and Laurie, yields six principles of adaptive leadership: see or create the contexts for change, identify the adaptive challenge, regulate distress from adaptive work, maintain disciplined attention, give the work back to the people to get them to assume greater responsibility, and protect the voices of leadership from below (Heifetz 1997, 124-134). Western leadership theory has been compared with that in West and East Asia and Africa. Blunt and Jones conclude that the current Western ideas of leadership are not widely applicable in Asia and Africa because of different values concerning authority, group loyalties and interpersonal harmony (Blunt 1997, 6-23). Gini examines the traits and talents required by a leader such as character, charisma, political

ambition, and technical expertise or business literacy discusses moral leadership. He concludes that moral leaders must inspire achievement and take risks (Gini 1997, 323-330).

Command and Control

Field Manual 101-5, 101-5-1, DA PAM 600-15 and the Staff Officers Guide were invaluable references. These manuals provided the bulk of evidence for the analysis that introduced a correlation between command/control and leadership/management. The development of this parallel was essential to linking the actions of a commander to that of a leader, and the actions of manager to that of staff. Information found in these references also played a pivotal role in the development of key principles that support the theory that there are functions of leadership that could be better served as management practices.

Conclusion

The objective of the research was to develop a clear understanding of management and leadership practices to determine if there are clear characteristics of each discipline. The purpose of doing so would assist in answering questions of whether management is suitable military culture, and if it is, what pertinent applications could be used to improve Army leadership doctrine. Essential in this endeavor was to limit the definition of management to the most commonly held theories in the literature reviewed and the definition of leadership to the published Army leadership doctrine, FM 22-100.

CHAPTER 3

RESEARCH METHODOLOGY

This chapter will discuss the methods used in this study to determine the characteristics and potential applications for the use of management as a function of leadership doctrine in the Army.

The methodology used to conduct this study involved an in depth review of Army leadership doctrine and a detailed analysis of past, existing, and evolving management practices. Field Manual 22-100 is the definitive source of the Army's expectations of its leadership. Past management practices were important to establish a basis for the military's divergence from management to a leader-centric organization. Existing management practices were used to illustrate the potential uses for management in the Army. Evolving management practices were studied to glean pertinent lessons that may have application in today's and tomorrow's Army leadership doctrine.

In this study, the literature review was divided into two parts. The first part consisted of the books used to evaluate management practices. The review was confined to the most pertinent texts, but the study itself was supplemented by numerous published articles and current websites authored by professional management organizations. The second part of the literature review involved a critical, but in no way comprehensive, review of the innumerable publications that address the topic of leadership.

These and similar texts, have been viewed in various ways by management and leadership proponents. For example, *Leadership*, has been touted as the preeminent collaborative study of leadership. Equally important to the thesis was the review of

historical management theorists. Much of the current understanding of people at work is a result of the pioneering work of classical management thinkers. Frederick Taylor, Henri Fayol, and Max Weber are all classical management thinkers who helped move the concept of management from the agriculture images of the lord and master in charge of peasants to one of a more rational and scientific approach (Murphy 2000, 4).

In what follows, the four management processes of planning, organizing, motivating and controlling are compared to eight potential applications (goal-setting, prioritization, time, resources, communication, retention, delegation and correcting). To aid in making a full comparison, a diagram has been included in chapter 1 that compares the applications to specific managerial processes. The applications bear strong resemblance to current leader requirements as outlined in Field Manual 22-100. The purpose of this is to identify potential management functions that may better define and guide leaders tasked to execute one of the said applications.

There are two ways to define the critical functions of leadership. One way is as they are characterized in current leadership doctrine, simply stating that they must occur, and the other is a definitive guide that illustrates how and when each application may be used. Without throwing the leadership doctrine out the window, one has to acknowledge the validity of a worldview that carefully defines and provides guides for duties that are sometimes taken for granted in the Army.

Many of the leader functions or applications as they are called in this study have foundation in and have been carefully defined in management texts. Unfortunately problems of perception arise when management is broached in Army circles. For this reason countless duties and necessary requirements have been characterized as functions

of leadership. Equally regrettable is the fact that many of the functions are not easily defined as leader initiatives and are often viewed as lesser requirements.

Essential to the completion of this thesis will be to answer the following question: what leader functions are better defined as management applications? As stated above the study will review eight functions of leadership as currently outlined in Field Manual 22-100. These functions are defined to varying degrees in the manual, but were specifically chosen because they exist on the periphery of the definition of leadership itself. As individuals provide purpose, motivation and direction for their organization--are they doing so through effective leadership or are there elements of effective management that are also present?

Command (Leadership)	Control (Management)
A. Deals directly with soldiers	D. Deals with systems and processes
B. Inspires / Motivates	E. Monitors / Corrects
C. Involves an element of will	G. Governs the distribution of documents, information and material

Figure 3. Correlation Matrix (Command and Control Characteristics). Department of the Army. *Operational Terms and Graphics*. 1997. Field Manual 101-5-1. Washington, D.C.

Note:

The above matrix does not appear in FM 101-5-1 as it is depicted above. The correlation matrix is a synopsis of the definitions of command and control as they appear in the manual.

In order to illustrate the inferences that allow for the careful study of leadership and management a correlation must be drawn between them and common military terminology. This study utilizes command and control as defined in FM 101-5-1. This manual defines command and control (C2), command, battle command, and control. Key

elements of these definitions were used in Figure 3 to highlight characteristics of command and characteristics of control.

The characteristics of command that were chosen for this thesis were: deals directly with soldiers, inspires and motivates, and involves an element of will. Battle command as defined in FM 101-5-1 states that, motivating soldiers and their organizations into action to accomplish the mission is a principle responsibility (FM 101-5-1 1997, 1-17). Command is further defined and states that it is the will of the commander expressed for the purpose of bringing about a particular action (FM 101-5-1 1997, 1-33).

The characteristics of control that were chosen for this thesis were: deals with systems and processes, monitors and corrects, and governs the distribution of documents, information and material. Control as defined in FM 101-5-1 states that it is the influence by occupation or range of weapon systems over the activities or access in a defined area. It is not a stretch to then say that control is the influence of systems over the activities in a defined area with the advent of numerous capabilities that the Army can bring to bear other than weapons (Appendix C illustrates the evolution and complexities that leaders and managers face). As far as monitoring and correcting the definition goes on to state that control is the physical and psychological pressures exerted with the intent to ensure that an agent or group will respond as directed. It also states that control is an indicator governing the distribution and use of documents, information, or material (FM 101-5-1, 1997 1-38).

As stated above, command and control was used to help identify a correlation between leader and management applications. To do this required the development of a

direct link between command and leadership and another link between control and management. This was possible because FM 101-5-1 not only defines them as a function of C2, but also as separate entities with distinct characteristics. A review of these characteristics as seen above in figure 3 supported definitions of either leadership or management as documented in chapter 1 of this study. Further evidence can be found in the definition of battle command, which states that it is the art of battle decision making and leading (FM 101-5-1 1997, 1-17). No specific mention of management is given in the definition of control, but the characteristics as highlighted above are in keeping with the term as defined and supported in this study.

A review of eight leadership applications as they are listed in FM 22-100 is included below in figure 4. The purpose of the figure was to examine the applications utilizing the characteristics from figure 3 to determine if they fell within the realm of either command or control. This allowed for an inference to be drawn that identifies an application as either functions of leadership or management. If an application had two or more characteristics it was considered as an element of that function (command and leadership or control and management).

	Goal Setting	Prioritization	Time	Resources	Communication	Retention	Delegation	Correcting
Criteria								
Command (Leadership)					X (AB)	X (ABC)	X (AB)	
Control (Management)	X (DEG)	X (DG)	X (DG)	X (DG)				X (DEG)

Note:

The letters under the X denote those characteristics that the application matched from figure 3 (see copy below).

A. Deals directly with soldiers	D. Deals with systems and processes
B. Inspires / Motivates	E. Monitors / Corrects
C. Involves an element of will	G. Governs the distribution of documents, information and material

Figure 4. Application Criteria Matrix

Conclusion

The purpose of this study is not to define existing leader requirements, but it will do so to illustrate that there may be current leader functions that a better suited as applications of management. In no way does this take away from the awesome responsibilities of leadership, to the contrary, it frees the leader and denotes those occasions, in which other maybe even mechanical duties are required. Figure 4 illustrates the criteria matrix that was used to evaluate the quality of the existing definitions and responsible parties for eight leader functions. The study utilized the oft-used function of command and control (C2) to determine which applications were more in line with leadership versus those applications that fall within the management purview.

Research supports the use of improved management definitions in the case of five applications as highlighted above. Consequently, an additional chapter that covers management or moreover another manual could serve the field in a capacity that could improve said leader functions. Examining existing leader doctrine for clarity and

potential shortfalls was essential in arriving at the definitions. Chapter 4 will provide specific suggestions for using this course of action and recommendations for improving existing leadership manuals. Chapter 4 will only cover those applications above that were identified as having management characteristics. Those applications were goal setting, prioritization, time, resources and correcting.

CHAPTER 4

ANALYSIS

There's been debate over the years about whether the profession of arms is an art or science. I think that the people who have been involved in that debate have missed the point. Fighting and winning will require the very best of both the art and the science of war.

Gen Wickham

Effective command and control is key to success on the battlefield (FM 100-15 1996, 4-24).

This chapter presents the analysis and discussion of the findings of the thesis. It answers the following research questions:

What is the correlation between leadership and command and management and control?

What are the relationships between leadership/command and the commander?

What are the relationships between management/control and the staff?

This study relies on two correlations, one between leadership and command and the other between management and control. Chapter 3 illustrated the methodology that was used to draw this inference. What follows will test that methodology with sourced evidence. Until now there have been no suggestions to who performs the leadership and management roles, but for the purpose of clarity and this study leaders will be referred to as commanders and managers as staff as seen in figure 5 below. For it is the commander that is directly responsible for the myriad of tasks that are delegated to staff members for execution and management. “The commander and his staff are a military entity with one purpose: successful execution of the commander's mission (FM 101-5 1993, p. 3).” “The

primary function of the staff is to assist the commander in performing his duties (FM 22-100 1999, p. 82).”

Command---Commander---Leader
Control---Staff---Manager

Figure 5. Command and Control Relationship Illustration

Note:

The command and control relationship illustration depicts how command is a commander and leader responsibility and control is a staff and manager responsibility.

The staff is essential to the Commander in executing the command and control process, and because of the complexity and responsibility of command, duties must be delegated. “The larger the unit, the more complex become the problems of leadership, but the greater become the means available to the commander to assist him in the exercise of leadership (FM 22-100 1999, 18).” One of the essential means afforded a commander is his staff. “Command is an art and focuses the unit, and is Commander's business. Control is a science of regulating functions to execute the Commander's intent, and is the staff's business (Shoffner 1993, 31).”

The staff utilizes the management process and provides the commander the expertise that he either lacks or has not the time or inclination to implement. “The staff exists to deal with problems which the commander has neither the time nor the specialized information to handle.” “A staff is a problem-solving group (DA Pam 600-15 1968, 208,195).” A leader must provide the direction for an organization and cannot find himself caught up in the mundane tasks of the day. Jomini illustrated this point well, “for the very purpose of permitting the general-in-chief to give his whole attention to the

supreme direction of the operations that he ought to be provided with staff officers competent to relieve him of details of execution (Jomini 1992, 531).”

Essential to the element of command/leadership is the commander’s belief that the staff will not only accomplish the tasks that they are assigned, but that the tasks that are merely implied by assigned missions will also be seen to fruition. “A good staff officer keeps himself informed by frequent visits to commanders of subordinate units. He interprets and explains policy, orders, and directives. He observes the execution of the commander's desires and advises him concerning the extent to which they are being executed (FM 22-100 1999, 82).”

The staff is the conduit between the commander and his subordinate units. They provide support and focus the units on mission accomplishment. The staff tasks, monitors, and corrects to guarantee that the commander’s guidance is both understood and carried out. In order to do this the staff must fully understand the commander's intent and the impact of directives. Figure 6 illustrates how a staff articulates the missions and directives of the commander. The commander directs his subordinate units through his staff and it is through their interpretation of his vision and philosophy that the unit is controlled (also see Appendix C for the business model). “After the order has been issued, the many details in connection with putting it into effect can be carried out by staff officers, thus conserving the time and energy of the commander (DA Pam 600-15 1968, 204).”

LEADERSHIP (ART) COMMAND: COMMANDERS (AND LEADERS)	MANAGEMENT (SCIENCE) CONTROL: STAFF
<ul style="list-style-type: none"> -form the vision -form the concept of operations -prioritize missions -prioritize resources -assess risk -assign missions/people -select critical time and place -see, hear, and understand -make decisions -anticipate change -lead, guide, and direct subordinates -focus the entire unit's energy to accomplish clear objectives 	<ul style="list-style-type: none"> -translate vision into reality -analyze, define limits, compute requirements -analyze and recommend -allocate resources -analyze risk -develop specific instructions from general guidance -monitor, measure, analyze, and report performance -research and recommend -anticipate and project change -identify and correct deviations from guidance -direct subordinates' actions to accomplish the Commander's intent
<p>Figure 6. Leadership as Command and Management as Control. Shoffner, Wilson A. <i>Future Battlefield Dynamics and Complexities Require Timely and Relevant Information</i> Mar 1993. Phalanx.</p>	

Crosswalk of the Applications

Chapter 3 illustrated that there is a correlation between management and several functions of leadership as illustrated by FM 22-100. Those applications were goal setting, prioritization, time, resources and correcting. The following pages will further develop this theory by demonstrating that these functions are staff proficiencies and are utilities of control.

Goal Setting

Goal setting partners with decision-making to collaborate in the development of the organizational future. This function of command and control allows the staff to set

benchmarks that will develop the units efforts to accomplish the missions assigned by the commander. An example of this could be the physical fitness program and the gates that are articulated to ensure that soldier has the best opportunity to pass the test. This goal must be expressed as a function of all the unit's goals in order to give the commander the proper outline of the steps required to achieve it. "Information is analyzed and condensed to present only significant facts (FM 101-5 1993, 35)." The analysis is important to show the relevance of the program in regards to competitors like field problems, deployments, and support activities. Without the articulation of desired goals the commander may make uninformed decisions that are detrimental to the program. The staff officer must present information to the commander in an unbiased and objective manner (FM 22-100 1999, 57).

Outlining the tenets of goal setting is a critical function of management that is rarely expressed in any forum. But as seen above it is critical to the development of an organization and directly affects the decisions that are made within a unit. Sports teams have mastered this in getting their teams ready for the "big game." The ultimate "game" is warfare and our preparedness should be maximized. These tenets involve setting specific measurable goals, setting challenging but realistic goals, setting practice as well as competitive goals, making sure the goals are framed positively, setting target dates to keep focused, recording goals and making a public commitment, and setting both short-term and long-term goals (Frank 2002, 1). Commander involvement in this particular function may be more than others, but it is clearly a function of staff to manage and gage the evolution of the process.

Prioritization

Prioritization is often confused with and is a close relative to goal setting. But this essential function of management and staff officers must be viewed separately to develop an appreciation of the power and focus it presents to an organization. Commanders may have a few of their own priorities, but they cannot review every aspect of an organization to ensure that all unit requirements are captured within the framework of those priorities. The staff must accomplish this for them. The purpose of the staff is to assist the commander in the exercise of command. The staff accomplishes this purpose by reducing the number of items requiring command attention. This is accomplished by exercising the authority delegated to the staff by the commander (FM 71-100 1996, 11).

Staff and commanders alike can be better served by clearly articulated principles of prioritization. Key principles might include the following: the benefits of a given mission must be understood, the costs of a given mission must be understood, missions must be prioritized by those that require resources, risks must be analyzed, and prioritization must be a regularly occurring event. These principles arm the staff with the instrument to interpret the priorities of the commander in regards to unit necessities. The staff assists the commander in his exercise of command by translating the decisions and plans of the commander into orders and exercising necessary supervision to insure that the policies, intentions, and orders of the commander are executed properly (FM 101-5 1993, 74). Expanding upon the above principles would arm the staff with a tool to manage the process of prioritization.

Time

Time is the one application that is most often related to management. Time management has become a buzzword that lacks meaning and moreover, has few governing standards. Staff officers and commanders alike fail to grasp the needed functions of time and inevitably short subordinate units of a precious commodity. It is a finite resource that not only requires the careful attention of the staff, but also must be intensely scrutinized to ensure that it is maximized. Maximum planning and preparation time must be given to subordinates. Successively lower echelons require more detailed planning, particularly at brigade, task force, and company. This process is often referred to as the one-third two-thirds rule (FM 71-100 1996, 3-8).

Time is constantly threatened by competing requirements. Whether those requirements come from the commander that demands constant attention, distractions, crises, or rival deadlines time management is vulnerable to continuous threat. The staff officer must be armed with efficiencies and counter-measures that empower him to ward off these roadblocks that lie in the path of issuing clear guidance to subordinate units. The staff must be organized, have set cogent priorities, be impervious to distraction, and most of all be willing to delegate (Baron 1999, 240). Failure to achieve even one of these utilities could result in the waste of valuable moments, hours and even days.

Resources

Resourcing is another term that is frequently connected to management. Whether it is human resource management or sustainment resource management it becomes a function of a specially trained staff officer to implement their expertise as it pertains to

the commander's guidance or intent. A staff officer researches an area carefully and ensures that the recommendations they provide the decision makers are founded on fact and stated with precision (HQDA Staff Officer's Guidebooks 1986, 1). This is especially true when the commander must make personnel decisions and may not be familiar with all of the regulating guidelines that govern those decisions. Tactical decisions are also affected in a resource-constrained environment, and it is the staff officer's responsibility to inform the commander how missions and assigned tasks will be supported.

Resource management techniques are support proficiencies that are passed from staff elements through their experiences. There are few principles that govern the management aspects of resourcing, a fact that leaves much of these duties to feel and conjecture. The Army sends its comptrollers to Syracuse University where a large part of their curriculum is spent on developing a management point of view and problem solving skills. It would be impossible to send the entire Army to this school, but not so to capture the lessons that are learned there. Logisticians and personnel manager must also collect those functions that govern their field of expertise. Characteristics of all resource managers should be compared to see where commonalities could be found and passed on to the field. This information is offered for further research, because there are few resources that capture the essence of what this study is trying to present.

Correcting

The process of verifying and correcting activity such that the objective or goal of command is accomplished is the fundamental nature of control and is an essential staff function. "It is the duty of the staff to insure that the order is executed as intended by the

commander who issued the order, and that modifications and elaborations of orders are initiated properly when circumstances demand (FM 101-5 1993, 37).” Although the commander plays a key role in ensuring the unit is on the right path, it is the staff that has the personnel and expertise to ensure that the organization steers the course. “In its supervisory function, the staff is the channel through which decisions, based on plans, become effective. Performance of this supervisory function, while lacking real authority, demands of the staff officer considerable degrees of tact, judgment, ability, and military knowledge (DA Pam 600-15 1968, 192).”

Methods of correcting are another functions of management leadership that is little studied, and is most often at the center of controversy in a unit. Few soldiers have a guide or a framework for developing their management styles and generally acquire their styles through some form of mimicking. It is critical that interaction as important as correcting and verifying have a modicum of regulation, whether simple or complex in form. This activity can polarize an organization if not done with tact, understanding of intent and guidance, and with the concern for the unit or individual’s acceptance of the corrections. Further research on this topic could flesh out proficiencies that might mediate the bitterness that is felt when behavior or mission modification is necessitated.

Conclusion

This chapter has compared leadership to command and control to management and illustrated how each are utilized by the commander and staff as functions of their responsibilities. It has also expounded upon those applications of leadership that were better defined as functions of management in chapter 3. If anything it has highlighted that gray area that can be further distinguished to assist both the commander and staff officer

in their obligations. “No strict definition of duties can completely clarify the complexities of the dual relationship of the staff officer to both his commander and subordinate commanders. His task is to help both and to maintain a working balance between them (DA Pam 600-15 1968, 205).” This analysis has also demonstrated that the job of the staff officer is a complex function of management that mirrors the leadership process and the complexities that lies there in. Anticipating problems, developing plans, gathering of necessary information and viewpoints, working out technical details, performing most of the basic thinking, consulting and informing all concerned, executing necessary paperwork, coordinating and supervising the activities that follow decisions, and reporting on progress- these are all appropriate staff functions (DA Pam 600-15 1968, 191).”

CHAPTER 5

CONCLUSIONS AND RECOMMENDATIONS

Then thought I to understand this: but it was too hard. Psalm 73:15

This study has been concerned with investigating contemporary applications of leadership: if they can be considered functions of management; how they pertain to the overarching theory of command and control; and identification of specific proponents (commanders or staff). These queries provided a complex web of analysis that could easily afford research for several dissertations. Thus, there are no simple, clear-cut answers to the questions. It is possible, however, to give an account of a context in which scrutiny may occur, and thereby illuminate important aspects of both leadership and management. And it is this setting that this thesis sought to illustrate in the preceding pages.

Army leadership doctrine is suitably distinguished in Field Manual 22-100. The manual provides leaders with an appropriate guide for the conduct and understanding of numerous leader tasks and situations. The premise of this study purports that many of tasks that are illustrated in the manual are functions of management and can be better defined for use by all proponents. The end results of this clarification are not only leadership applications that are clear and easily understood, but also an essential tool for the growing field of management within the Army.

The analysis chapter of this study clearly articulated that the leader and manager and commander/staff functions are intertwined, and often a decision by one either affects

or supports the other. It also delineated that there are several leader applications that could be better defined, and those definitions were more in line with management processes. Both the students and practitioners of leadership are therefore left to decipher the actual message of doctrine and come to terms with their own definitions of or the realization that leadership is everything. This is not the lesson that is intended to be portrayed by the doctrine, but when tasks such as resourcing and time management are purported as leadership then soldiers have no choice but to believe that their realizations and the portrayal are correct.

The context in which the analysis was conducted evaluated leadership as a utility of command; and control as a function of staffs and management. These findings magnified the necessity to better articulate the role that staff officers play in concert with the guidance and intent that leaders and commanders provide. Simply identifying leader tasks that staff managers perform is only step one to improving the doctrine. Once the appropriate tasks are highlighted they must be coherently characterized in order to capture pertinent fundamentals that may be used to improve both leader and manager duties. In no way does this abrogate individuals of responsibilities, to the contrary it is meant to clarify the roles that soldiers engage in throughout organizations within the Army.

Review of findings

This thesis specifically looked at eight leader applications as delineated in FM 22-100. Those applications were: goal setting, prioritization, time, resources, communication, retention, delegating and correcting. Three of the evaluated applications

fell squarely within the leadership realm and were not extensively studied. Those applications were: communication, retention and delegation. The other five applications were not only examined, but recommendations were made to how specific functions of each could be taught or characterized by Army doctrine. This information can be found in chapter 4.

The question that naturally follows that if the applications are not leadership and are required of soldiers and officers then what are they? The crux of this study illustrates that there are numerous functions that the Army identifies as leader duties that are instead duties of staff managers. Support for this theory can also be found in chapter 4, which identifies doctrinal evidence that demonstrates these assumptions. The research also articulates the distinction between commander and staff duties as they pertain to command and control. It was essential to outline these characteristics in order to discern leadership and management divisions within the Army.

Implications

The implications of this research are two fold: it illustrates that leader tasks can be characterized in a way that lends itself to be taught in a more structured manner, and it highlights that management has been and will continue to be an important skill within the Army. The primary focus of this study was on the latter point, and for that reason the former implication is a topic for further investigation. Management as a proficiency must be accepted as a positive aspect of leader doctrine to enhance the interactions between those that are being led to those that are managing or leading.

In chapter 1, this study briefly outlined the negative connotations that arise when management is mentioned in some circles of the Army. These undertones must be overcome to improve the force. Leadership is an integral part of military service and cannot be ignored, but the fact of the matter is that the number of soldiers being asked to manage is steadily increasing. Whether they are members of the emerging operational career fields or executive officers in a line infantry battalion there are aspects of their jobs that require proficiency in organizational, structural, and personnel management.

Further Investigation

As comprehensive as this study was intended to be, there was absolutely no way that everything that could have been covered was highlighted in the preceding chapters. Specifically, there are three areas that merit additional study: the thesis does not illuminate how leadership should be taught in regards to the findings that some tasks are functions of management, the study does not illustrate how the management functions can be incorporated into the leadership doctrine, and finally additional research should be conducted to further explore the relationship of command and control with commanders and staff. Each of the above recommendations for additional study could easily provide a researcher with enough analysis to fill the pages of an entire thesis.

This study also shares a practical deficiency with many other studies in leadership. The findings are a matter of interpretation because of the vast number of leadership and management definitions available to choose from. Simply conducting research to define each in the framework of the Army would be very interesting and worthy of a thesis. This might sound like a clear-cut task, but the nuances of leadership

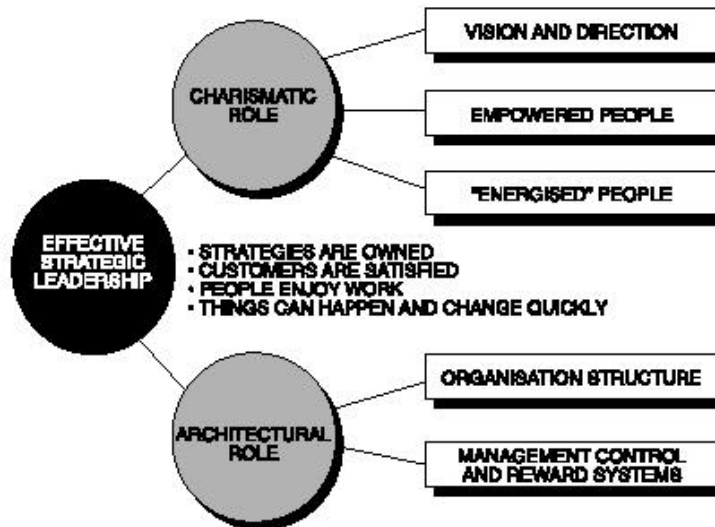
and management are contextual and it is almost impossible to find a uniform definition of either word. Therefore, the delineations used in this study have been rather artificially simple, in order to be acquired and applied within the structure of the research. Finally, this study has only partially explained the benefits that can be gained by identifying management proficiencies, and the improvements to leadership doctrine that can be realized.

Conclusions

The changing framework of the Army requires a more sophisticated examination of soldier and leader expectations within the service. The ever growing intricacies of the battlefield mandate a change in mindset. Whether it is the advent of new technologies, the expanding officer personnel management system, or the reduction in troop leadership positions, the prominence of management is on the rise. In many of these cases leadership and management are used interchangeably. A distinction must be made to arm those charged to perform well in these diverse fields. Soldiers cannot be expected to rely solely on their previous leadership experiences to guide them in their endeavors to manage the new requirements that they are expected to master. To prepare these officers and soldiers for the challenges of management, the perception of the last two decades that a good leader will make a good manager must be changed, and a concerted effort to train and equip leaders with management skills must be made.

APPENDIX A

STRATEGIC LEADERSHIP



Appendix A. Diagram. Thompson, John L. A Strategic Perspective of Entrepreneurship. 2000. Huddersfield University Business School, Huddersfield, UK.
<http://fork.ltk.hut.fi/ehtf/Files/28A%20strategic%20perspective%20of%20entrepreneurship.pdf>.

Note:

The above diagram denotes the recognized division of leadership and management roles in business.

APPENDIX B

FUNCTIONS AND PRINCIPLES OF MANAGEMENT



Henri Fayol (1841-1925)

Henri Fayol, a French engineer and director of mines, was little known outside France until the late 40s when Constance Storrs published her translation of Fayol's 1916 "Administration Industrielle et Generale".

Fayol's career began as a mining engineer. He then moved into research geology and in 1888 joined, Comambault as Director. Comambault was in difficulty but Fayol turned the operation round. On retirement he published his work - a comprehensive theory of administration - described and classified administrative management roles and processes then became recognized and referenced by others in the growing discourse about management. He is frequently seen as a key, early contributor to a classical or administrative management school of thought (even though he himself would never have recognized such a "school").

His theorizing about administration was built on personal observation and experience of what worked well in terms of organization. His aspiration for an "administrative science" sought a consistent set of principles that all organizations must apply in order to run properly.

F. W. Taylor published "The Principles of Scientific Management" in the USA in 1911, and Fayol in 1916 examined the nature of management and administration on the basis of his French mining organization experiences.

Fayol synthesized various tenets or principles of organization and management and Taylor on work methods, measurement and simplification to secure efficiencies. Both referenced functional specialization.

Both Fayol and Taylor were arguing that principles existed which all organizations - in order to operate and be administered efficiently - could implement. This type of assertion typifies a "one best way" approach to management thinking. Fayol's five functions are still relevant to discussion today about management roles and action.

-to forecast and plan – examine the future and draw up plans of action

-to organize - build up the structure, material and human of the undertaking

-to command - maintain activity among the personnel

-to co-ordinate - bind together, unify and harmonies activity and effort

-to control - see that everything occurs in conformity with policy and practice

Fayol also synthesized 14 principles for organizational design and effective administration. It is worthwhile reflecting on these are comparing the conclusions to contemporary utterances by Peters, Kanter and Handy to name but three management gurus. Fayol's 14 principles are:

- **division/division of labor**

A principle of work allocation and specialization in order to concentrate activities to enable specialization of skills and understandings, more work focus and efficiency.

- **authority with corresponding responsibility**

If responsibilities are allocated then the post holder needs the requisite authority to carry these out including the right to require others in the area of responsibility to undertake duties. Authority stems from:

that ascribed from the delegation process (the job holder is assigned to act as the agent of the high authority to whom they report - hierarchy)

allocation and permission to use the necessary resources needed (budgets, assets, staff) to carry out the responsibilities.

selection - the person has the expertise to carry out the responsibilities and the personal qualities to win the support and confidence of others.

The $R = A$ correspondence is important to understand. $R = A$ enables accountability in the delegation process. Who do we cope with situations where $R > A$? Are there work situations where our $R < A$?

"judgment demands high moral character, therefore, a good leader should possess and infuse into those around him courage to accept responsibility. The best safeguard against abuse of authority and weakness on the part of a higher manager is personal integrity and particularly high moral character of such a manager this integrity, is conferred neither by election nor ownership. " 1916

A manager should never be given authority without responsibility--and also should never be given responsibility without the associated authority to get the work done.

Discipline - The generalization about discipline is that discipline is essential for the smooth running of a business and without it - standards, consistency of action, adherence to rules and values - no enterprise could prosper.

Unity of command. The idea is that an employee should receive instructions from one superior only. This generalization still holds - even where we are involved with team and matrix structures which involve reporting to more than one boss - or being accountable to several clients. The basic concern is that tensions and dilemmas arise where we report to two or more bosses. One boss may want X, the other Y and the subordinate is caught between the devil and the deep blue sea.

Unity of direction - The unity of command idea of having one head (chief executive, cabinet consensus) with agree purposes and objectives and one plan for a group of activities) is clear.

Subordination of individual interest to the general interest - Fayol's line was that one employee's interests or those of one group should not prevail over the organization as a whole. This would spark a lively debate about who decides that the interests of the organization as a whole are. Ethical dilemmas and matters of corporate risk and the behavior of individual "chancers" are involved here. Fayol's work - assumes a shared set of values by people in the organization - a unitarism where the reasons for organizational activities and decisions are in some way neutral and reasonable.

Remuneration of staff - The general principle is that levels of compensation should be "fair" and as far as possible afford satisfaction both to the staff and the firm (in terms of its cost structures and desire for profitability/surplus).

Centralization - Centralization for HF is essential to the organization and a natural consequence of organizing. This issue does not go away even where flatter, devolved organizations occur. Decentralization - is frequently centralized-decentralization !!! The modes of control over the actions and results of devolved organizations are still matters requiring considerable attention.

Scalar chain/line of authority - The scalar chain of command of reporting relationships from top executive to the ordinary shop operative or driver needs to be sensible, clear and understood.

Order - The level of generalization becomes difficult with this principle. Basically an organization "should" provide an orderly place for each individual member - who needs to see how their role fits into the organization and be confident, able to predict the organizations behavior towards them. Thus policies, rules, instructions and actions should be understandable and understood. Orderliness implies steady evolutionary movement rather than wild, anxiety provoking, unpredictable movement.

Equity - Equity, fairness and a sense of justice "should" pervade the organization - in principle and practice.

Stability of tenure - Time is needed for the employee to adapt to his/her work and perform it effectively. Stability of tenure promotes loyalty to the organization, its purposes and values.

Initiative - At all levels of the organizational structure, zeal, enthusiasm and energy are enabled by people having the scope for personal initiative. (Note: Tom Peter's recommendations in respect of employee empowerment)

Esprit de corps - Here Fayol emphasizes the need for building and maintaining of harmony among the work force , teamwork and sound interpersonal relationships.

In the same way that Alfred P Sloan, the executive head of General Motors reorganized the company into semi-autonomous divisions in the 1920s, corporations undergoing reorganization still apply "classical organization" principles - very much in line with Fayol's recommendations.

Appendix B. Definitive study. Business Open Learning Archive. A collection of notes on management competence. <http://sol.brunel.ac.uk/~jarvis/bola/competence/fayol.html>. 2000.

APPENDIX C

EVOLUTION OF COMMAND AND CONTROL

Figure 1. Traditional C2 Operational Concept & Cycle (HEAT)

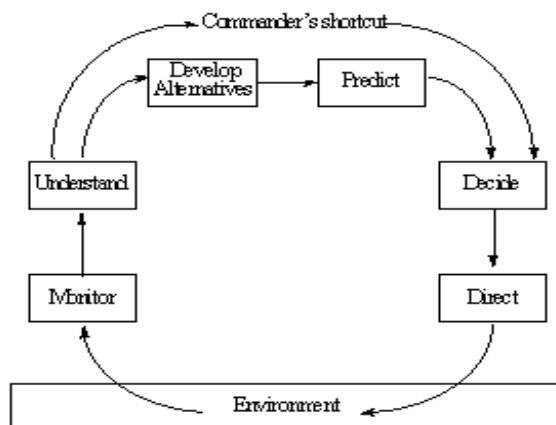
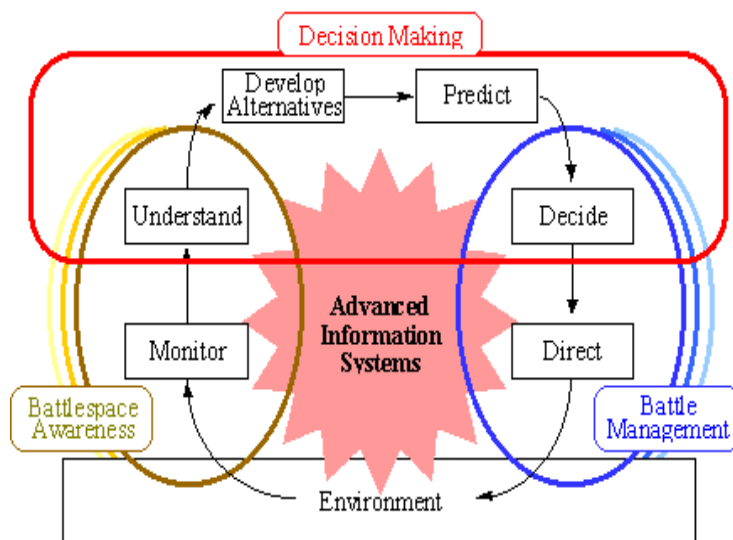


Figure 2. Impact of Advanced Information Systems



Appendix C. Diagrams. Noble, David and Wheatly, Gary (Admiral Ret) *A Command and Control Operational Architecture for Future Warfighters*. 1999.
http://www.ebrinc.com/ebc/pubs/wheatley/wheatley_nofgsa.htm

GLOSSARY

Command (JP 1-02)--1. The authority that a commander in the Military Service lawfully exercises over subordinates by virtue of rank or assignment. Command includes the authority and responsibility for effectively using available resources and for planning the employment of, organizing, directing, coordinating, and controlling military forces for the accomplishment of assigned missions. It also includes responsibility for health, welfare, morale, and discipline of assigned personnel. 2. An order given by a commander; that is, the will of the commander expressed for the purpose of bringing about a particular action. 3. A unit or units, an organization, or an area under the command of one individual. 4. To dominate by a field of weapon fire or by observation from a superior position. (See also battle command and commander.) See FMs 22-100, 22-103, 100-5, and 101-5.

Command and control (C2) (JP 1-02)--The exercise of authority and direction by a properly designated commander over assigned and attached forces in the accomplishment of the mission. Command and control functions are performed through an arrangement of personnel, equipment, communications, facilities, and procedures employed by a commander in planning, directing, coordinating, and controlling forces and operations in the accomplishment of a mission. (See also battle command(BC), command, commander, and command post (CP).) See FMs 7-20, 7-30, 71-100, 71-123, 100-15, and 101-5.

Commander--One who is in command because of rank, position, or other circumstances.

Control (JP 1-02)--1. Authority which may be less than full command exercised by a commander over part of the activities of subordinate or other organizations. 2. In mapping, charting, and photogrammetry, a collective term for a system of marks or objects on the Earth or on a map or a photograph, whose positions or elevations, or both, have been or will be determined. 3. Physical or psychological pressures exerted with the intent to ensure that an agent or group will respond as directed. 4. An indicator governing the distribution and use of documents, information, or material. Such indicators are the subject of intelligence community agreement and are specifically defined in appropriate regulations. (Army) To maintain physical influence by occupation or range of weapon systems over the activities or access in a defined area. Actions taken to eliminate hazards or reduce their risk (third step in risk management process). (See also administrative control, command relationship, operational control (OPCON), and tactical control (TACON).) See FMs 22-100, 22-103, 71-100, 100-5, 100-15, and 101-5.

Fayol, Henri. Fayol was a key figure in the turn-of-the-century Classical School of management theory. He saw a manager's job as: planning, organizing, commanding, coordinating activities, and controlling performance. See Appendix A.

Leadership. Leadership is influencing people—by providing purpose, direction, and motivation—while operating to accomplish the mission and improving the organization.

Management. Management is the process of planning, organizing, leading and controlling the resources of an organization in order to achieve stated goals.

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